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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/756,090

01/13/2004

Derek M. Gledhill

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EXAMINER

ALI, HATEM M

ART UNIT

PAPER NUMBER

3691

MAIL DATE

DELIVERY MODE

07/28/2011

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

**Corrected
Notice of Allowability**

Application No.

10/756,090

Examiner

HATEM ALI

Applicant(s)

GLEDHILL ET AL.

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3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to interview on 7/19/11.
2. ☒ The allowed claim(s) is/are 1-3,6,10,22 and 23.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- * Certified copies not received: ____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date ____.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date ____.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- | | |
|--|---|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892) | 5. <input type="checkbox"/> Notice of Informal Patent Application |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 6. <input type="checkbox"/> Interview Summary (PTO-413),
Paper No./Mail Date ____. |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date ____ | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit
of Biological Material | 8. <input type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| | 9. <input type="checkbox"/> Other ____. |

/Alexander Kalinowski/
Supervisory Patent Examiner, Art Unit 3691

DETAILED ACTION

Corrected

Notice of Allowance

1. This communication is in response to application filed **01/13/2004** and applicant's amendments to the claims filed on **03/31/2011** and supplemental amendment on **05/31/11**.

EXAMINER'S AMENDMENT

2. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with **J. Marc Hennessee** on 5/31/20011 and 7/19/2011

3. Please **amend the claims** as follows:

Claim 22 (Amended): A host system comprising: for calculating automated real time computing of cost basis of an at least one asset, the host system configured to:
a tangible, non-transitory memory communicating with a processor,
the tangible, non-transitory memory having instructions stored thereon for
calculating automated real-time computing of cost basis of an at least one asset, that in

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response to execution by the processor, cause the processor to perform operations comprising:

monitor, by a computer, the reallocation of an ownership of at least one asset from a plurality of assets, wherein the asset is a financial asset;

extract in real time, by the computer, from at least one a product system, reallocation data, asset information, and computed tax data associated with the a reallocation of the ownership of at least one asset,

wherein the reallocation data comprises of reallocation reasons, and a reallocation value,

and wherein the reallocation value comprises information relating to the value of the change in ownership of the asset;

and wherein the reallocation of the ownership of the asset by the product system is triggered by at least one of: a marriage, an inheritance, a gift, a partial spin-off, a stock split with owner option, a partial sale of the asset, and a change to an accounting method for the sale of the asset;

categorize at least one asset into at least one of the reallocation categories based on the extracted reallocation data;

transform at least one reallocation category into at least one reallocation reason code;

re-categorize the reallocation reason code into one of a plurality of tax treatment categories to establish a tax treatment re-categorization of the reallocation of the ownership of at least one asset, and wherein the tax treatment re- categorization is

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based upon the reallocation reason code, the asset information and the tax treatment re-categorization;

computing automatically a real-time adjusted cost basis of the asset based upon the reallocation reason code, the reallocation reasons, the asset type, and the tax treatment re-categorization;

store the tax treatment re-categorization and the adjusted cost basis in a portfolio management system to enable tax-related calculations based upon the tax treatment re-categorization;

extract cost basis data and tax lot data from at least one product system to enable automated real-time reconciliation of the cost basis data and the adjusted cost basis;

identify at least a portion of the tax lot data that was affected by the reallocation;

reconcile real-time, based upon the tax treatment re-categorization, the cost basis data and the adjusted cost basis of the asset to at least one product system; and,

generate a report relating to the adjusted cost basis of the asset based on at least one of:

the reallocation reason code, the tax treatment re-categorization and the adjusted cost basis of the asset.

Claim 23 (Amended): A method of automated real-time computing of cost basis of at least one an asset comprising:

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monitoring, by a computer for computing said cost basis of said at least one asset, the reallocation of an ownership of at least one asset from a plurality of assets, wherein the asset is a financial asset;

extracting in real time, by the computer, from at least one product system, reallocation data associated with a reallocation of an ownership of the asset,

and wherein the reallocation data comprises of reallocation reasons, and a reallocation value,

and wherein the reallocation value, comprises information relating to the value of the change in ownership of the asset,

automatically categorizing, by the computer, at least one asset into at least one of the reallocation categories based on the extracted reallocation data;

automatically transforming, by the computer, at least one reallocation category into at least one reallocation reason code, wherein the reallocation reason code, comprises codified information relating to the reason for the change in ownership of the asset,

and wherein the reallocation of the ownership of the asset by the product system is triggered by at least one of: a marriage, an inheritance, a gift, a partial spin-off, a stock split with owner option, a partial sale of the asset, and a change to an accounting method for the sale of the asset;

automatically re-categorizing, by the computer, the reallocation reason code into one of a plurality of tax treatment categories to establish a tax treatment re-categorization of the reallocation of the ownership of at least one asset, and wherein the

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tax treatment re-categorization is based upon the reallocation reason code, the asset information and the associated tax treatment of the reallocation;

computing automatically, by the computer, a real-time adjusted cost basis of at least one asset based upon the reallocation reason code, the reallocation reasons, the asset information, and the tax treatment re-categorization;

storing, by the computer, the tax treatment re-categorization and the adjusted cost basis in a portfolio management system to enable tax-related calculations based upon the tax treatment re-categorization;

automatically extracting, by the computer, cost basis data and tax lot data from at least one product system to enable automated real-time reconciliation of the cost basis data and the adjusted cost basis;

automatically identifying, by the computer, at least a portion of the tax lot data that was affected by the reallocation;

automatically reconciling in real-time, by the computer and based upon the tax treatment categorization, the cost basis data and the adjusted cost basis of the asset to at least one product system; and,

generating a report by the computer, relating to the adjusted cost basis of the asset based on at least one of: the reallocation reason code, the tax treatment re-categorization and the adjusted cost basis of the asset.

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4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to HATEM ALI whose telephone number is (571)270-3021 and Fax (571)270-4021. The examiner can normally be reached on 8.00 to 6.30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, ALEXANDER KALINOWSKI can be reached on 571-272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Alexander Kalinowski/
Supervisory Patent Examiner, Art Unit 3691

Hatem Ali
Examiner
Art Unit 3696